
U.S. Dept. Of Energy, NETL

Configuration Management Plan

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9/29/06	1.12	This document was updated by the ITES PM to support recent ITES Organizational/Roles and Responsibilities changes. Summary of changes made V1.12 are: 1) Changed IT Director to Operations Control Lead, on numbered page 3 2) Appointed CAB Members, listed on numbered page 5. 3) Grammar correction (send to sending) on numbered page 6	Paul Alvarez

CONFIGURATION MANAGEMENT PLAN

Date	Version	Description	Author
3/08/07	1.13	Modified document to include ORD, CHRIS, and standard changes. CCB wash changed to reflect ITIL term CAB.	Craig Molina, Kris Lescinsky, Dave Rager

NETL IT Configuration Management Plan

March 8, 2007

This document is intended for use by the members of the Information Technology Division (ITD) of the National Energy Technology Laboratory (NETL) and related support contractors.

Distribution of this document is limited to those personnel that are effected by or required to follow the procedures described herein.

It is further noted this document builds on the concepts defined in NETL Operating Plan 200.1-2 and is compliant with NETL Procedure 205.1-1, ITD Configuration Management Plan.

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I. SCOPE

Identification

This Configuration Management Plan (CMP) establishes the overall configuration management requirements to be used for hardware, software and documentation under the purview of NETL's ITD. Items shall be identified for configuration control by the IT Primary Support Contractor (IT-PSC) Program Manager, Service Area Managers (SAMs) and/or Sub-Service Area Leads (SSALs).

The Configuration Items (CIs) placed under the control of this plan shall be documented by the IT-PSC SSAL in the Configuration Management Data Base (CMDB). The CMDB represents a collective group of systems/databases that contains all relevant details of each CI and details of the important relationships between CIs. A Configuration Item (CI) represents components of NETL's infrastructure that is (or is to be) under control of Configuration Management. Each IT-PSC SSAL is responsible for identifying items based on the definition provided in the System Overview. CIs may vary widely in complexity, size and type, from an entire system (including all hardware, software and documentation) to a single module or a minor hardware component. Identified CIs are formally submitted to the Change Advisory Board (CAB) using a CMDB. After review and approval, documents are formally checked into a version control tool and assigned to the service/sub-service areas "As-Built" documents. "As-Built" is defined as the current version of the item under configuration management. The CMDB represents all the tools used to manage change at NETL. This includes the combined usage of HEAT, PVCS Version Manager and Tracker, MS SharePoint Services, PITS, MS Excel, etc.

System Overview

This Configuration Management Plan (CMP) applies to CIs within NETL's infrastructure (hardware, software, and documentation). Guidance for identifying the items placed under configuration control are as follows: 1) CIs whose performance is considered critical to daily NETL activity, employee performance, and/or facility functionality or 2), items that, if changed, may impact the NETL IT infrastructure or user environment.

The definition of a CI: component within NETL's infrastructure, which include but not limited to hardware, software and documentation, components, data communications cable plant, voice systems, video systems, and identified peripheral devices.

Hardware includes, but is not limited to, network servers, workstations, and network infrastructure.

Software includes, but is not limited to, operating systems, communications systems, collaborative tools, and applications (server-based or desktop.)

Documentation includes items required to create or maintain and support the products (e.g., user guides, installation manuals, and training manuals) are also maintained under CM.

Document Overview

This plan was developed to provide a mechanism to manage change within NETL's infrastructure. The following provides a summary of the information contained within each section of this document.

Section I provides the purpose, introduces the objectives, and establishes the environment for the contents of this document.

Section II contains the referenced documentation to which this document refers for further information.

Section III describes the organizational framework, resources, and schedule necessary to maintain the procedures defined within this document.

Section IV provides a complete description of the configuration management procedures and processes to be used, including functional organization, identification schema for As-Built, request for change policies, audit and review methods, and automated tools.

II. REFERENCED DOCUMENTS

NIST Special Publication 800-18, December 1998.

III. ORGANIZATION AND RESOURCES

Organization

While the CIs covered by this plan affect NETL as a whole, it is the stated purpose of the IT-PSC to maintain the quality, availability, and integrity of the IT infrastructure; therefore, successful implementation of the configuration management procedures defined within this document is the responsibility of all members of the IT-PSC. The actions of the CAB will ultimately affect activities and work performance NETL-wide. The IT-PSC will provide technical support to develop and refine the Configuration Management Plan and manage CAB activities.

ITD shall:

- Approve the IT Configuration Management Plan (CMP).
- Allocate the appropriate resources to ensure the success of the established CMP.
- Enforce compliance with the established CMP throughout the Division.
- Establish CM Policies.

ITD CAB Representative shall:

- Monitor CAB activities.
- Ensure the IT-PSC is following the CMP.
- Review CAB activity and audit reports.

IT-PSC shall:

- Maintain, publish, and enforce the CMP.
- Execute the CMP.
- Implement approved changes.
- Assist ITD in developing/maintaining CM policies and procedures.
- Provide an adequate CMDB.
- Ensure NETL's DRP/CONPLAN and other plans and procedures are updated with the CM information and processes.

Resources

Personnel

The personnel required to perform the configuration management duties described within this plan are as follows:

- IT-PSC Program Manager (PM) will chair the CAB. The IT-PSC Operations & Maintenance (O&M) SAM will act as the Chair when the PM is absent. The IT-PSC O&M Operations Control Lead (OCL) will act as the Chair when the IT-PSC PM and IT-PSC O&M SAM are absent.
- IT-PSC SAMs and SSALs will participate as members of the CAB. The CAB Chair will determine the number of SAMs and SSALs serving on the CAB based on the service areas defined within the organization.
- ITD and IT-PSC Technical Staff will adhere to the procedures defined in the CMP. These procedures include requesting changes, implementing changes, and maintaining the CMDB. These individuals will represent a wide variety of technical skills, backgrounds, and expertise.
- CAB Admin will help manage the overall configuration management process. This IT-PSC resource will assist requestors (IT-PSC SAMs and SSALs) in using the CMDB. This individual will schedule CAB meetings, take minutes, track action items, document CAB actions, generate reports for meetings, and perform other administrative support functions for the CAB.

IV. SOFTWARE/HARDWARE CONFIGURATION MANAGEMENT PROCEDURES, TOOLS, AND RECORDS

Procedures

Assigned Identification

Each IT-PSC SSAL is responsible for capturing and submitting As-Built documentation listing all items that are identified to be under configuration management control. Documents must be in a format clearly identifying items that are configuration management controlled, versus supporting information. This information is then presented and reviewed by the CAB and referred to as the "As-Built documentation." Each service area's As-Built documentation will be placed under configuration control and stored in the CMDB.

CI's and As-Built's will be organized as follows:

- The IT-PSC Information Technology Operations and Maintenance (IT O&M) SAM is responsible for enforcing and maintaining the CMP and provides facilitation and governance to manage IT/business alignment and software engineering support.
- Client Facility Operations (Client Server) Support (CFOS) maintains computer facility operations.
- Client Systems Engineering (CSE) configures hardware and software supporting the NETL's standard desktop and Citrix CI's.
- Desktop (End User) Support provides general end user computing support.
- Application Sustaining Engineering (ASE) provides engineering support for all NETL legacy systems.
- Enterprise Engineering (EE) provides software development and third level technical support.
- Telecommunications (Data, Video, Voice and Switched Voice) Services maintains data, video, voice, and switched voice services.
- Cyber Security maintains/monitors cyber security.

Organization of Configuration Items and As-Built's

Upon base-lining As-Built documentation, each of the CI's are organized in the format designated by the IT-PSC SAM and/or SSAL service lead. This documentation is placed under configuration management within the CMDB and requested change items submitted as baseline As-Built documentation. Using the CMDB, the CI and As-Built documentation will be stored in a CMDB. As-Built and other system documentation will be accessible by ITD and IT-PSC personnel. The CMDB is maintained and managed by the IT-PSC.

Customization

Prior to each SSAL submitting CI's for placement under configuration control, the CAB will determine the appropriate configuration management customization or format for As-Built documentation. Each SSAL may ask for additional customized directories within the CMDB, allowing for more focused organization of documentation. The IT-PSC O&M SAM will approve modifications and enhancements to the CMDB.

Configuration Control

Change Advisory Board (CAB)

CAB Meetings

CAB Meetings shall be held approximately every week and no less than monthly to discuss Request for changes for CI's under configuration control. CAB meetings will be scheduled and held prior to Preventative Maintenance events to ensure that required CI's have been addressed.

To facilitate emergency requests for change(s) that cannot wait for normal cycle meetings, the requestor may submit CAB Request, via e-mail and/or the CMDB, to all CAB members with a CC to the ITD CAB Representative. This is known as an emergency CAB request. This process will be limited to *EMERGENCY* requests only. The emergency request must contain the reason

why the request is an emergency. Emergency requests will be reviewed and approved by the CAB chair, as needed, and will be reviewed at the next CAB meeting.

CAB Members

The IT-PSC PM shall appoint, in writing, the members of the CAB. The CAB membership is based on the ITES organizational structure. Members of the CAB shall be comprised of IT-PSC personnel and the ITD CAB Representative.

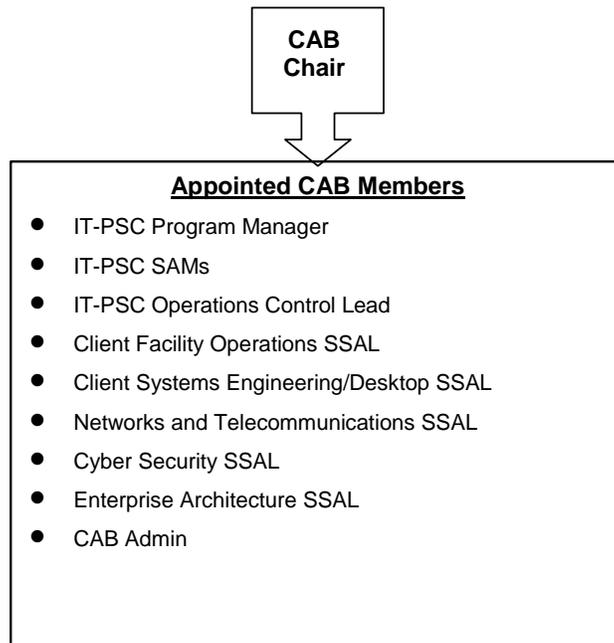


Figure 1: Change Advisory Board Members

CAB Responsibilities

CAB shall:

- Ensure traceability of all changes implemented.
- Evaluate all requested changes to CIs in an objective manner.
- Ensure risk management is an integral part of the configuration management decision process.
- Ensure Security Impact Assessments (SIAs) are completed, reviewed and approved for proposed or submitted CIs.
- Ensure all decisions considered are based on appropriate risk assessments with supporting documentation.
- Monitor configuration management activities for consistency with NETL enterprise architecture goals and strategies.
- Ensure that best practices and new procedures, as defined by the National Institute of Standards and Technology (NIST) and Information Technology Infrastructure Library (ITIL) or other recognized standards, are incorporated into the CMP.
- Enforce compliance with established configuration management procedures by all IT-PSC personnel.

CAB Chair shall:

- Serve as the official “voice” of the CAB in situations that require CAB advocacy (e.g., ensure compliance with the established Plan and CAB decisions, briefing the NETL ITD CAB Representative on CAB activity.)
- Preside over the CAB Meetings.
- Poll members for a disposition recommendation, initiate further discussions as appropriate, and approve, disapprove, or defer pending further action or clarification.
- Determine what, if any, further testing and evaluation is required to properly define the change proposal’s effectiveness and desirability.
- Establish an implementation date.
- Ensure that implementation has been successfully completed before closeout of the requests for change.

CAB Members shall:

- Identified IT-PSC CAB members are responsible for attending each CAB meeting. If an assigned CAB member is not able to attend a scheduled CAB meeting, they are responsible for sending a delegate and notifying the CAB chair.
- Provide thorough analysis of all requested changes.
- Offer knowledgeable solutions/recommendations in support of decisions on all requested changes.
- Provide feedback on the CMP in order to support a continuous process improvement environment.
- Ensure the effective implementation of all CAB actions on a requested change.
- Manage As-Built content and format, for CIs.

CAB Admin Support shall:

- Maintain complete, accurate, and thorough records of CAB meetings.
- Ensure that all documents are available in the CAB directory and/or in the CMDB.
- Schedule CAB meetings and provide necessary information to CAB members for review.
- Provide document coordination.
- Provide feedback on the CMP in order to support a continuous process improvement environment.
- Assist CAB members in completing CAB related actions such as inclusion of key documents in CMDB.
- Coordinate with the CAB Chair as necessary to update meeting agenda to cover any pertinent issues/topics.
- Ensure CAB documentation is published and/or available to ITD members.

Requests for change/CIs

Submitting configuration management items for CAB Control:

As stated earlier in this document, each IT-PSC SSAL is responsible for identifying and submitting CIs that meet the following criteria: 1) Items whose performance is considered critical to daily NETL activity, employee performance, and/or facility functionality or 2), items that, if changed, may impact the NETL IT infrastructure or user environment.

All requests for changes for addition of new CIs must be submitted using the CMDB in the established format, e.g., Excel, Word, etc. The established format will be maintained by the IT-PSC.

The CAB Admin will schedule review of the request at the next regularly scheduled CAB meeting. The IT-PSC SSAL will give a presentation to the CAB detailing item(s) proposed to be placed under CAB control, their impact on other systems/applications, and any other pertinent information.

Members of the CAB will review the request and identify any items that require clarification or additional information. After addressing each request, the CAB Chair will determine if the items are to be placed under the control of the CAB. The CAB Admin will record the decision of the CAB. If an item is accepted, the requests for change is updated in the CMDB.

To add, retire, or change CIs in a service area, the IT-PSC SSAL must submit an additional CAB Request asking to add, retire, or change CAB controlled items.

Submitting a Requests for change to CIs under the control of the CAB

All requests for changes must be submitted using the CMDB by IT-PSC personnel for CAB review. IT-PSC personnel shall keep the ITD CAB representative and their assigned ITD Functional Leads (FL) up to date on all requests.

IT-PSC personnel submit the requests to the CAB. The SSALs will be assigned as owners for CAB Requests. Any relevant documentation should be entered into the CMDB.

Once assigned an owner, CAB requests are presented at the next normal CAB meeting. For emergency CAB Requests for changes, the requestor is responsible for notifying the CAB members and obtaining approval from the CAB Chair. The approval must be documented electronically (ex. Email, CMDB, etc..)

In order to ensure a CAB request will be discussed at a CAB meeting, the proposed changes must be entered in the CMDB no later the 4:00pm EST the day prior to the CAB. The requestor is responsible for making sure the request is properly entered in the CMDB.

CAB requests must address the following for consideration by the CAB:

- **PROPOSED CHANGE** – Describe proposed change in detail. Point out specifics of the change, providing enough details for others to make a decision.
- **BENEFITS** – Describe why this change is being made and the benefit to the organization.
- **RISK** - Describe the risk to the organization associated with making the change. Describe the results of testing that has been performed to verify functionality and any potential risk to the system.
- **BACKUP PLAN** - Describe the process for reversing the change being proposed.
- **TEST PLAN** – Describe how the proposed change can be verified once implemented.
- **DEPLOYMENT** – Describe when you propose the change be targeted for production if accepted.

Office of Research and Development (ORD)

Within the Office of Research and Development (ORD), there are a number of systems utilized to support Research and Development projects which may have network connectivity and follow existing NETL policies governing such connectivity, but have varying configuration requirements that are controlled by the ORD system owner. In these instances, where ITD is not considered the systems owner, the CAB has no authority to approve changes.

The ORD system owner grants approval for any changes or modifications to an ORD CI. ORD IT Support Services generates detailed documentation describing the existing state and configuration of the CI along with the proposed changes and final configuration.

Once approved by the ORD system owner, ORD IT Support Services shall release the change into production.

ORD changes which affect general IT systems within ORD, such as networking or centralized server support, or affect NETL's general IT infrastructure will be processed by the CAB.

Corporate Human Resource Information System (CHRIS)

The CHRIS system is located at NETL is operated as a DOE-wide application through DOE Headquarters. CHRIS has an independent Change Control Board which governs CHRIS CIs. CIs controlled by NETL and under change control will be processed by the NETL CAB. Mutual dependencies between CHRIS and NETL will be coordinated and tracked in the appropriate CCBs and CABs.

Standard Changes

A standard change is defined as a change to the infrastructure that follows an established path, is relatively common, and is the accepted solution to a specific requirement or set of requirements.

A standard request for change (RFC) will be completed for these changes. The standard RFC request defines what, when, where, how, by whom, and under what circumstances the change may occur. This request contains where the updated CI information is located.

A Security Impact Assessment will be submitted for each standard RFC to cover all subsequent releases that the procedure described in the RFC. Each deployment shall be documented according to the standard RFC. By definition the standard RFC has been pre-authorized and a new SIA is not necessary.

Completing Requests for change

Once a request has been accepted by the CAB, the CAB Action and CAB Action Date is updated to reflect acceptance. It is then the responsibility of the IT-PSC SSAL to determine how to proceed with the implementation. Status and expected completion date for the request will be tracked using the configuration management tracking software. Once the request is completed,

the appropriate IT-PSC SSAL will update the Date Completed field and As-Built Completed field to signify the request has been implemented.

Evaluating Changes

All changes determined by the CAB to require action from the CAB will be addressed by the IT-PSC SSAL to which it was assigned. Members of the CAB will review the request and identify any items that require clarification or additional information. Each request received will be discussed and an action (accept, reject, deferred and cancelled) will be determined. The CAB Admin will record the decision of the CAB within the CMDB. Any necessary supporting information, such as justification, may also be recorded. This information is then forwarded to the requestor.

Types of CAB Actions

Accept: Requests for changes may be accepted as written if it is determined that the recommended action is appropriate to address the NETL requirement.

Accept Emergency: Emergency requests for changes may be accepted as written and approved via e-mail or other electronic system. Responses received from CAB members will be captured and stored electronically (ex. Emails and/or within the CMDB). Receipt of all member recommendations is not required for the CAB Chair to approve or reject a change.

Reject: Requests for changes may be rejected if it is determined that:

1. It is not in the best interest of NETL to implement the change.
2. Change is required but the recommended action is not appropriate for rectifying the identified problem. This determination may be the result of a differing expert opinion, changing circumstances, or other factors brought before the CAB. In this event, the open request would be rejected and a new request with recommended changes will be resubmitted, if appropriate.

Deferred: Defer pending further action or clarification.

Cancelled: Requests for change may be cancelled, if the request is overtaken by events.

Determining an Action

Members of the CAB will review the request and identify items that require clarification or additional information. The CAB members, using their knowledge and technical experience, will evaluate the requests and provide their recommendation to the CAB Chair. The CAB Chair will make the final determination. The CAB Admin will record the final determination in the CMDB.

- CAB Accept/Reject (includes reject with resubmission) – These actions require adequate attendance. The CAB Chair ensures that enough CAB members are present to hold effective and thorough discussions regarding the requested change. The CAB Chair shall make the final decision.

- CAB Emergency Accept – This action allows CAB approval to be gained electronically (ex. e-mail and/or within the CMDB). CAB member recommendations and the Chair approval/rejection must be captured in the CMDB. The CAB Chair, CAB Admin or a CAB member will document the decision and rationale within the CMDB. The CAB Admin will ensure the CMDB is updated. This process will be limited to EMERGENCY requests only. The CAB Chair approval is required.
- CAB Deferred – These actions allow for further action or clarification.
- CAB Cancellation – If cancelled, the CAB will provide rationale for the action. The CAB Admin will document the decisions and rationale within the CMDB.

Implementing Changes

Upon receipt of the CAB decision to implement a given change, the IT-PSC SAM and/or SSAL determine the best plan of action. Implementation will be carried out by IT-PSC personnel and work will be assigned in accordance with the provisions of the contract.

Each change shall be implemented within the time period deemed appropriate for the task, as determined by the CAB. Exceptions to this time frame must be noted within the CMDB for each change. Once implemented, the date completed information will be updated in the CMDB. This is needed to manage change and for the CAB Admin to include the information for implementation review at the next CAB meeting.

All CAB requests must be implemented as proposed and accepted. In the event of change the requestor must submit a new CAB Request forcing the change back through the normal CAB approval process. The original CAB Request is canceled with supporting comments.

Implementation Review

The Implementation Review is based upon the acceptance of change, by the requestor and shall be evaluated during the CAB meeting for each request implemented. This process shall determine that all changes approved by the CAB have been implemented in a manner consistent with their intent and As-Built documentation has been updated. The actual completion date and time of a change will be documented in the CMDB. The required security documentation must be approved before implementation is accepted, if required.

The CAB Admin will ensure the updates of requests for change records, as appropriate, to reflect actions taken during the CAB meetings.

- For accepted implementations, the Implementation Accept date is entered in the CMDB with the date to signify when it is approved.
- Rejected implementations shall be noted to reflect the rationale for rejection and the follow-on action requested in the CMDB for the CAB Request.

Version Control Software

Using the As-Built/system documentation submitted and accepted for each IT-PSC SSAL, CAB Requests that are implemented require an update to the As-Built/system, as needed. Not all requests for changes require an As-Built/system update. The CAB Admin tracks the requests being completed using the Date Completed field and Implementation Accept date within the CMDB. The CAB Admin will “Check-Out” and/or will show the appropriate IT-PSC personnel how to “Check-Out” the As-Built/system documentation for the assigned functional area on the

configuration management shared area. The assigned IT-PSC SSAL or his/her designate, then updates to reflect the implemented change, and notifies CAB Admin when completed. As part of the Check-Out process, the associate Requests for change is noted in the CAB Request and Version of As-Built that fulfilled the item.

Once the As-Built is updated and all other required items are completed, the CAB Admin uses the CMDB to re-baseline the new As-Built and modifies the CMDB to Close and update the As-Built modification date. The requests for change which caused an As-Built document to be modified will be referenced in the As-Built document for accountability.

Prior to any changes occurring, a description of the change must be documented in the request. For a change to be completed, baseline As-Built documentation must be formally submitted to the CAB. Each IT-PSC SSAL and/or designee are tasked with capturing the CIs that fit the definition described earlier. These As-Built documents are needed to rebuild CIs in the case a component must be rebuilt to its original state.

CIs may be “retired,” indicating that they have been superseded or are no longer required and will no longer be tracked. The IT-PSC SSAL, and/or designee, must submit a request asking for approval to retire the specified configuration management item. With the item approved for retirement, the IT-PSC will ensure implementation of the change using the procedures defined by the functional area and NETL procedures. Once retirement is implemented, the configuration management tracking database is completed and As-Built document updated to reflect the change.

Audits and Reviews

Audit Activity

Audits shall be performed semi-annually, at a minimum. The ITD CAB Representative and IT-PSC CAB Chair will determine additional audit dates. In the event of significant IT environment changes or a suspected error, the CAB may elect to hold a supplemental audit at any time. A final audit will be performed upon retirement of a configuration item. The leader of the audit activity shall report the results to the CAB Chair. Audits to be performed include Implementation Audits to ensure the evolution of the configuration item from the original to the latest version documented and reflected in requests for changes and control board meeting records. The CAB Chair (or acting) and the owner of the configuration item and an ITD representative shall audit the CAB meeting records, change history, requests for change logs, and As-Built documentation to ensure that traceability exists for the changes made to the item during the auditing period.

Access Control Audits are to ensure the current access privileges for each configuration item's data are up-to-date and appropriate. The CAB Chair and the CMDB administrator shall participate in this audit to review the listed read/write/execute privileges for all configuration items and compare them to current CAB and project personnel to identify required changes.

A detailed report for all audits will be submitted to the ITD CAB Representative within 15 days after the audit is completed and incorporated into the CMDB.

All CAB documentation, including CIs and As-Built documents, will be available for review by all members of the ITD staff.

Backup/Restore/Access Control

Backup

Backups of the CMDB used to store information related to the configuration items will be performed in accordance with the current Computer Facility Operations backup process.

Restore

While the decision to restore the CMDB from a backup will undoubtedly result from an emergency situation, it may be part of a location specific or a full recovery restoration NETL-wide.

In the event of data loss, the CAB shall be notified of the status and be provided with all information necessary to determine a course of action. Restoration of the lost information may require all or only a portion of the backup.

Access Control

Access control for all personnel involved with the configuration management of a given item shall be decided by the CAB and established by the CAB administrator. IT-PSC SAMs, SSALs, ITD representatives, and/or designated personnel will possess read/write permissions for CAB Requests items in designated service areas. Exemptions to this Access Control policy will be granted at the discretion of the ITD Director. The CAB Admin will have complete access permissions.

Tools

All configuration management activities described within this document shall be performed using the CMDB provided by the IT-PSC.